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Office of Elementary and Secondary Education  
Washington, D.C. 20202-6336*

**FISCAL YEAR 2002  
APPLICATION FOR NEW GRANTS  
EARLY CHILDHOOD EDUCATOR  
PROFESSIONAL DEVELOPMENT  
PROGRAM GRANTS**

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Patricia McKee, Education Program Specialist  
Compensatory Education Programs  
Office of Elementary and Secondary Programs  
400 Maryland Avenue, SW  
Washington, DC 20202-6132  
(202) 260-0999  
E-mail: [patricia.mckee@ed.gov](mailto:patricia.mckee@ed.gov)



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**Section A :**

**DEAR COLLEAGUE LETTER**



Dear Colleague:

Thank you for your interest in Early Childhood Educator Professional Development Program grants. These grants, authorized under section 2151(e) of the Elementary and Secondary Education Act (ESEA) by the No Child Left Behind Act, 2001, Public Law 107-110, are somewhat different than those awarded last year for the professional development of early childhood educators. The purpose of these new Early Childhood Educator Professional Development Program grants is to enhance the school readiness of young children, particularly disadvantaged young children, and to prevent them from encountering difficulties once they enter school, through improving the knowledge and skills of early childhood educators in all developmental domains. The grants complement the President's new Early Childhood Initiative, and early learning grant programs, such as Early Reading First, by helping States and local communities strengthen early learning for young children.

The grants are intended to provide professional development for early childhood educators who work in communities with high concentrations of children living in poverty. Funded projects will provide professional development for early childhood educators that is high-quality, on-going, and intensive, and based on the best available research on early childhood pedagogy and child development and learning domains, including the development of early language and literacy skills. Early Childhood Educator Professional Development Program grants will be awarded for a period of up to 2 years. Entities may only receive one grant under this authority.

Eligible applicants for these fiscal year (FY) 2002 grants are partnerships of the following entities: (1) a professional development provider; (2) one or more public agencies, Head Start agencies, or private organizations; and (3) if feasible, an entity with demonstrated experience in providing training to early childhood educators concerning identifying and preventing behavioral problems or working with children identified as or suspected to be victims of abuse. Funded projects must contribute a cost share that is at least 50 percent of the total cost of the project for the entire grant period, and at least 20 percent of the project cost per year. Applicants also must conduct a needs assessment to determine the most critical professional development needs of the early childhood educators to be served by the project and in the community, and must make annual progress toward (and report on) attaining achievement indicators established by the Secretary.

The most competitive high-quality applications will propose projects that provide research-based professional development to early childhood educators to improve their knowledge and skills in working effectively with preschool-age children who have been identified as having a learning disability or whose pre-literacy skills put them at high risk of later being identified as having a learning disability. The Department intends to disseminate information about those professional development programs that prove to be effective models for practice to early childhood education programs.

This application booklet contains the instructions, forms, and other information needed to submit a complete application for an Early Childhood Educator Professional Development Program grant for FY 2002. It contains a copy of the *Federal Register* notice inviting applications, which

includes information on funding available for FY 2002, sets forth the absolute priority and competitive preference, describes the selection criteria that will be used to evaluate applications, and establishes achievement indicators. This booklet also contains all other documents needed to apply for these grant funds. Please refer to the notice inviting applications that follows for a contact name and number, and call or send an e-mail inquiry if you have any questions about these grants or preparation of your application.

We look forward to receiving your application and appreciate your efforts to meet the professional development needs of early childhood educators and caregivers through this program.

Sincerely,

Susan B. Neuman, Ed.D.  
Assistant Secretary for  
Elementary and Secondary Education

**Section B :**

**FEDERAL REGISTER NOTICE AND PROGRAM  
AUTHORIZATION**

Notice Inviting Applications  
Authorizing Statute



**FEDERAL REGISTER NOTICE INVITING  
APPLICATIONS FOR NEW AWARDS,  
AND SETTING FINAL PRIORITIES AND ACHIEVEMENT  
INDICATORS FOR A FISCAL YEAR (FY) 2002 COMPETITION  
FOR THE EARLY CHILDHOOD EDUCATOR PROFESSIONAL  
DEVELOPMENT PROGRAM**

4000-01-U

DEPARTMENT OF EDUCATION

(CFDA NO: 84.349A)

Early Childhood Educator Professional Development Program  
Notice inviting applications for new awards for fiscal year (FY)  
2002.

PURPOSE OF PROGRAM

The purpose of the Early Childhood Educator Professional Development Program, authorized by section 2151(e) of the Elementary and Secondary Education Act (ESEA) as added by the No Child Left Behind Act, Public Law 107-110, is to enhance the school readiness of young children, particularly disadvantaged young children, and to prevent them from encountering difficulties once they enter school. The program is designed to improve the knowledge and skills of early childhood educators who work in communities that have high concentrations of children living in poverty.

Projects funded under the Early Childhood Educator Professional Development Program will provide high-quality, sustained, and intensive professional development for these early childhood educators in how to provide developmentally appropriate school-readiness services for preschool-age children that are based on the best available research on early childhood pedagogy and on child development and learning. These grants complement the President's Early Childhood Initiative and early learning programs, such as Early Reading First, by helping States and local communities strengthen early learning for young children. The Department intends to disseminate information about the funded projects that prove to be effective professional development models to child care and early childhood education programs.

ELIGIBLE APPLICANTS: A partnership consisting of—

(i) One or more institutions of higher education, or other public or private entities (including faith-based organizations), that provide professional development for early childhood educators who work with children from low-income families in high-need communities; and

(ii) One or more public agencies (including local educational agencies, State educational agencies, State human services agencies, and State and local agencies administering programs under the Child Care and Development Block Grant Act of 1990), Head Start agencies, or private organizations (including faith-based organizations); and

(iii) If feasible, an entity with demonstrated experience in providing training to educators in early childhood education programs concerning identifying and preventing behavior problems or working with children identified as or suspected to be victims of abuse. This entity may be one of the partners described above, if appropriate.

APPLICATIONS AVAILABLE: May 28, 2002.

DEADLINE FOR RECEIPT OF APPLICATIONS: The Department's Application Control Center must receive the application by **July 5, 2002** (by 4:30 p.m., Eastern Standard Time, if hand-delivered).

DEADLINE FOR INTERGOVERNMENTAL REVIEW: September 3, 2002.

ESTIMATED AVAILABLE FUNDS: \$15,000,000 (for FY 2002).

ESTIMATED RANGE OF AWARDS: \$600,000 - \$1,400,000 per year.

ESTIMATED AVERAGE SIZE OF AWARDS: \$1,000,000 per year (based on 15 awards).

ESTIMATED NUMBER OF AWARDS: 10-25.

Note: The Department is not bound by any estimates in this notice.

PROJECT PERIOD: Up to 2 years.

APPLICABLE REGULATIONS: The following provisions of the Education Department General Administrative Regulations (EDGAR) apply to these Early Childhood Educator Professional Development program grants: 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99.

MATCHING AND USE OF FUNDS REQUIREMENTS:

Cost-sharing: Each partnership carrying out a project through an Early Childhood Educator Professional Development Program grant under this program must provide a cost share of (1) at least 50 percent of the total cost of the project for the entire grant period; and (2) at least 20 percent of the project cost for each year. The project may provide this cost share from any source other than funds under this program, including other Federal sources. The partnership may provide the project cost share through contributions of cash or in-kind, fairly evaluated, including plant, equipment, and services.

Indirect Costs: For purposes of indirect cost charges, the Secretary considers all Early Childhood Educator Professional Development Program grants to be "educational training grants" within the meaning of 34 CFR 75.562(a). Therefore, consistent with 34 CFR 75.562, except for costs incurred by fiscal agents

that are State agencies or agencies of local governments (such as local educational agencies), a recipient's indirect cost rate is limited to the maximum of eight percent or the amount permitted by its negotiated indirect cost rate agreement, whichever is less.

Pre-award Costs: The Department's regulations authorize grant recipients to incur allowable pre-award costs up to 90 calendar days before the grant award (34 CFR 75.263 and 74.25(e)(1)). Pre-award costs, in this case, may include the necessary and reasonable costs of a needs assessment that the statute requires applicants to conduct, before submitting their applications, to determine the most critical professional development needs of the early childhood educators to be served by the project and in the broader community. Applicants incur any pre-award costs at their own risk. That is, the Secretary is under no obligation to reimburse these costs if for any reason the applicant does not receive an award or if the award is less than anticipated and inadequate to cover these costs.

SUPPLEMENTARY INFORMATION:

Background: These Early Childhood Educator Professional Development Program grants will provide a small but significant base of high-quality, intensive, replicable, professional development programs for early childhood educators. These programs will be based upon the best available research on early childhood pedagogy and on child development and learning, including early language and literacy development. The grants are particularly important because high-quality, intensive, research-based professional development is critical for implementing effective early childhood programs that enhance the school readiness of young children.

These grants will fund projects that carry out activities to improve the knowledge and skills of early childhood educators working in early childhood programs that are located in high-need communities and serve concentrations of children from low-income families. The specific activities for which recipients may use grant funds are identified in the application package.

The Secretary will expect funded projects to use rigorous methodologies to measure progress toward attainment of project objectives and of the achievement indicators in this notice under ACHIEVEMENT INDICATORS. The statute requires applicants to report annually on their progress toward attaining these achievement indicators.

Definitions: The following terms used in the absolute priority, the competitive preference, and the selection criteria for this grant competition have specific statutory meanings that are included in the application package: "early childhood educator," "high-need community," "low-income family," "poverty

line," "professional development," and "scientifically based research." The Secretary strongly encourages applicants to review the statutory definitions of these terms before preparing their grant applications.

Applications: Early Childhood Educator Professional Development Program grants for FY 2002 will be awarded through a competitive process. The statute requires each applicant to submit an application that contains specific information and assurances that are described in the application package. The application narrative (addressing the absolute priority, the competitive preference, the EDGAR selection criteria, and other information identified in the application package) is limited to 30 double-spaced, typed pages. In addition, the budget narrative is limited to 5 double-spaced, typed pages. Other application materials are limited to the specific materials indicated in the application package, and may not include any video or other non-print materials.

WAIVER OF PROPOSED RULEMAKING: It is the Secretary's practice, in accordance with the Administrative Procedure Act (5 U.S.C. 553), to offer interested parties the opportunity to comment on proposed priorities and other program requirements that are not taken directly from statute. Ordinarily, this practice would have applied to the priorities, achievement indicators, and application requirements in this notice. Section 437(d)(1) of the General Education Provisions Act (GEPA), however, exempts from this requirement rules that apply to the first competition under a new or substantially revised program. The Secretary, in accordance with section 437(d)(1) of GEPA, has decided to forgo public comment with respect to the rules in this grant competition in order to ensure timely awards. The rules in this notice will apply only to the FY 2002 grant competition.

ACHIEVEMENT INDICATORS: The Secretary announces the following achievement indicators for these grants as required by section 2151(e)(6) of the ESEA:

Indicator 1: Increasing numbers of hours of high quality professional development will be offered. High-quality professional development must be ongoing, intensive, classroom-focused, and based on scientific research on cognitive and social development in early childhood and effective pedagogy for young children.

Indicator 2: Early childhood educators who work in early childhood programs serving low-income children will participate in greater numbers, and in increasing numbers of hours, in high-quality professional development.

Indicator 3: Early childhood educators will demonstrate increased knowledge and understanding of effective strategies to

support school readiness based on scientific research on cognitive and social development in early childhood and effective pedagogy for young children.

Indicator 4: Early childhood educators will more frequently apply research-based approaches in early childhood pedagogy and child development and learning domains, including using a content-rich curriculum and activities that promote language and cognitive development.

Indicator 5: Children will demonstrate improved readiness for school, especially in the areas of appropriate social and emotional behavior and early language and literacy competencies.

#### PRIORITIES

Absolute Priority: Under 34 CFR 75.105(c)(3), the Secretary gives an absolute preference to any eligible applicant that proposes a project to provide professional development services that will improve the knowledge and skills of early childhood educators who are working in early childhood programs that (1) are located high-need communities; and (2) serve concentrations of children from low-income families.

The statute requires every applicant to describe in its application the high-need community to be served by the project. Applicants should include relevant demographic and socio-economic information to support this description. To meet this priority, all early childhood programs served by the early childhood educators receiving services under this grant must be located in a "high-need community." For the purpose of this priority, the Secretary considers an early childhood program to serve a "concentration" of children from low-income families if the number of children in the program from low-income families is over 50 percent of the number of children served by the total program.

Under 34 CFR 75.105(c)(3), the Secretary will fund under this competition only applicants that meet this absolute priority.

Note: The following terms used in this absolute priority have statutory definitions that are included in the application package: "early childhood educator," "high-need community," "low-income family," and "professional development."

Competitive Preference: Under 34 CFR 75.105(c)(2), the Secretary establishes one competitive preference as follows:

The Secretary gives a competitive preference to any applicant that proposes to provide research-based professional development to early childhood educators to improve their knowledge and skills in working effectively with preschool-age children who have been identified as having a learning disability or whose pre-literacy skills put them at high risk of later being identified as having a learning disability.

An application that meets this competitive preference would receive 10 points in the competition. These points are in addition to any points the applicant earns under the selection criteria.

Note: The following terms used in this competitive preference have statutory definitions that are included in the application package: "early childhood educator," and "professional development."

SELECTION CRITERIA: The Secretary will use selection criteria from EDGAR in 34 CFR 75.210 to evaluate applications under this competition. Those selection criteria are identified in the application package.

FOR APPLICATIONS CONTACT: Education Publications Center (ED Pubs), P.O. Box 1398, Jessup, MD 20794-1398. Telephone (toll free): 1-877-433-7827. FAX: (301) 470-1244. If you use a telecommunications device for the deaf (TDD), you may call (toll free): 1-877-576-7734.

You may also contact ED Pubs at its Web site:  
<http://www.ed.gov/pubs/edpubs.html>

Or you may contact ED Pubs at its e-mail address:  
[edpubs@inet.ed.gov](mailto:edpubs@inet.ed.gov)

If you request an application from ED Pubs, be sure to identify this competition as follows: CFDA number 84.349A.

The public also may obtain a copy of the application package on the Department's Web site at the following address:  
[www.ed.gov/GrantApps/#84.349A](http://www.ed.gov/GrantApps/#84.349A).

FOR FURTHER INFORMATION CONTACT: Virginia Berg, U.S. Department of Education, Compensatory Education Programs, Office of Elementary and Secondary Education, 400 Maryland Avenue SW, Washington, DC 20202-6132. Telephone: (202) 260-0926, or via Internet:

[Virginia.Berg@ed.gov](mailto:Virginia.Berg@ed.gov)

If you use a telecommunications device for the deaf (TDD), you may call the Federal Information Relay Service (FIRS) at 1-800-877-8339.

Individuals with disabilities may obtain a copy of the application package in an alternative format by contacting that person. However, the Department is not able to reproduce in an alternative format the standard forms included in the application package.

#### Electronic Access to This Document

You may view this document, as well as all other Department of Education documents published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site:

[www.ed.gov/legislation/fedregister](http://www.ed.gov/legislation/fedregister)

To use PDF, you must have Adobe Acrobat Reader, which is available free at that site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC area at (202) 512-1530.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at:

<http://www.access.gpo.gov/nara/index.html>

PROGRAM AUTHORITY: 20 U.S.C. 6651(e).

Dated: May 22, 2002

/s/  
Susan B. Neuman, Ed.D.  
Assistant Secretary for  
Elementary and Secondary  
Education.



# AUTHORIZING STATUTE

## SECTION 2151(e) of the Elementary and Secondary Education Act, as added by the No Child Left Behind Act, Public Law 107-110

### (e) EARLY CHILDHOOD EDUCATOR PROFESSIONAL DEVELOPMENT-

(1) PURPOSE- The purpose of this subsection is to enhance the school readiness of young children, particularly disadvantaged young children, and to prevent young children from encountering difficulties once the children enter school, by improving the knowledge and skills of early childhood educators who work in communities that have high concentrations of children living in poverty.

#### (2) PROGRAM AUTHORIZED-

(A) GRANTS TO PARTNERSHIPS- The Secretary is authorized to carry out the purpose of this subsection by awarding grants, on a competitive basis, to partnerships consisting of —

(i)(I) one or more institutions of higher education that provide professional development for early childhood educators who work with children from low-income families in high-need communities; or

(II) another public or private entity that provides such professional development;

(ii) one or more public agencies (including local educational agencies, State educational agencies, State human services agencies, and State and local agencies administering programs under the Child Care and Development Block Grant Act of 1990 (42 U.S.C. 9858 et seq.), Head Start agencies, or private organizations; and

(iii) to the extent feasible, an entity with demonstrated experience in providing training to educators in early childhood education programs concerning identifying and preventing behavior problems or working with children identified as or suspected to be victims of abuse.

#### (B) DURATION AND NUMBER OF GRANTS-

(i) DURATION- The Secretary shall award grants under this subsection for periods of not more than 4 years.

(ii) NUMBER- No partnership may receive more than one grant under this subsection.

#### (3) APPLICATIONS-

(A) APPLICATIONS REQUIRED- Any partnership that desires to receive a grant under this subsection shall submit an application to the Secretary at such time, in such manner, and containing such information as the Secretary may require.

(B) CONTENTS- Each such application shall include —

(i) a description of the high-need community to be served by the project proposed to be carried out through the grant, including such demographic and socioeconomic information as the Secretary may request;

(ii) information on the quality of the early childhood educator professional development program currently conducted (as of the date of the submission of the application) by the institution of higher education or another provider in the partnership;

(iii) the results of a needs assessment that the entities in the partnership have undertaken to determine the most critical professional development needs of the early childhood educators to be served by the partnership and in the broader community, and a description of how the proposed project will address those needs;

(iv) a description of how the proposed project will be carried out, including a description of —

(I) how individuals will be selected to participate;

(II) the types of professional development activities, based on scientifically based research, that will be carried out;

(III) how research on effective professional development and on adult learning will be used to design and deliver project activities;

(IV) how the project will be coordinated with and build on, and will not supplant or duplicate, early childhood education professional development activities in the high-need community;

(V) how the project will train early childhood educators to provide developmentally appropriate school-readiness services that are based on the best available research on early childhood pedagogy and child development and learning domains;

(VI) how the project will train early childhood educators to meet the diverse educational needs of children in the community, including children who have limited English proficiency, children with disabilities, or children with other special needs; and

(VII) how the project will train early childhood educators in identifying and preventing behavioral problems in children or working with children identified as or suspected to be victims of abuse;

(v) a description of —

(I) the specific objectives that the partnership will seek to attain through the project, and the methods that the partnership will use to measure progress toward attainment of those objectives; and

(II) how the objectives and the measurement methods align with the achievement indicators established by the Secretary under paragraph (6)(A);

(vi) a description of the partnership's plan for continuing the activities carried out under the project after Federal funding ceases;

(vii) an assurance that, where applicable, the project will provide appropriate professional development to volunteers working directly with young children, as well as to paid staff; and

(viii) an assurance that, in developing the application and in carrying out the project, the partnership has consulted with, and will consult with, relevant agencies, early childhood educator organizations, and early childhood providers that are not members of the partnership.

#### (4) SELECTION OF GRANT RECIPIENTS-

(A) CRITERIA- The Secretary shall select partnerships to receive grants under this subsection on the basis of the degree to which the communities proposed to be served require assistance and the quality of the applications submitted under paragraph (3).

(B) GEOGRAPHIC DISTRIBUTION- In selecting partnerships to receive grants under this subsection, the Secretary shall seek to ensure that communities in different regions of the Nation, as well as both urban and rural communities, are served.

#### (5) USES OF FUNDS-

(A) IN GENERAL- Each partnership receiving a grant under this subsection shall use the grant funds to carry out activities that will improve the knowledge and skills of early childhood educators who are working in early childhood programs that are located in high-need communities and serve concentrations of children from low-income families.

(B) ALLOWABLE ACTIVITIES- Such activities may include--

(i) professional development for early childhood educators, particularly to familiarize those educators with the application of recent research on child, language, and literacy development and on early childhood pedagogy;

(ii) professional development for early childhood educators in working with parents, so that the educators and parents can work together to provide and support developmentally appropriate school-readiness services that are based on scientifically based research on early childhood pedagogy and child development and learning domains;

(iii) professional development for early childhood educators to work with children who have limited English proficiency, children with disabilities, and children with other special needs;

(iv) professional development to train early childhood educators in identifying and preventing behavioral problems in children or working with children identified as or suspected to be victims of abuse;

(v) activities that assist and support early childhood educators during their first 3 years in the field;

(vi) development and implementation of early childhood educator professional development programs that make use of distance learning and other technologies;

(vii) professional development activities related to the selection and use of screening and diagnostic assessments to improve teaching and learning; and

(viii) data collection, evaluation, and reporting needed to meet the requirements of paragraph (6) relating to accountability.

(6) ACCOUNTABILITY-

(A) ACHIEVEMENT INDICATORS- On the date on which the Secretary first issues a notice soliciting applications for grants under this subsection, the Secretary shall announce achievement indicators for this subsection, which shall be designed--

(i) to measure the quality and accessibility of the professional development provided;

(ii) to measure the impact of that professional development on the early childhood education provided by the individuals who receive the professional development; and

(iii) to provide such other measures of program impact as the Secretary determines to be appropriate.

(B) ANNUAL REPORTS; TERMINATION-

(i) ANNUAL REPORTS- Each partnership receiving a grant under this subsection shall report annually to the Secretary on the partnership's progress toward attaining the achievement indicators.

(ii) TERMINATION- The Secretary may terminate a grant under this subsection at any time if the Secretary determines that the partnership receiving the grant is not making satisfactory progress toward attaining the achievement indicators.

(7) COST-SHARING-

(A) IN GENERAL- Each partnership carrying out a project through a grant awarded under this subsection shall provide, from sources other than the program carried out under this subsection, which may include Federal sources--

(i) at least 50 percent of the total cost of the project for the grant period; and

(ii) at least 20 percent of the project cost for each year.

(B) ACCEPTABLE CONTRIBUTIONS- A partnership may meet the requirements of subparagraph (A) by providing contributions in cash or in kind, fairly evaluated, including plant, equipment, and services.

(C) WAIVERS- The Secretary may waive or modify the requirements of subparagraph (A) for partnerships in cases of demonstrated financial hardship.

(8) FEDERAL COORDINATION- The Secretary and the Secretary of Health and Human Services shall coordinate activities carried out through programs under this subsection with activities carried out through other early childhood programs administered by the Secretary or the Secretary of Health and Human Services.

(9) DEFINITIONS- In this subsection:

(A) EARLY CHILDHOOD EDUCATOR- The term 'early childhood educator' means a person providing, or employed by a provider of, nonresidential child care services (including center-based, family-based, and in-home child care services) that is legally operating under State law, and that complies with applicable State and local requirements for the provision of child care services to children at any age from birth through the age at which a child may start kindergarten in that State.

(B) HIGH-NEED COMMUNITY-

(i) IN GENERAL- The term 'high-need community' means--

(I) a political subdivision of a State, or a portion of a political subdivision of a State, in which at least 50 percent of the children are from low-income families; or

(II) a political subdivision of a State that is among the 10 percent of political subdivisions of the State having the greatest numbers of such children.

(ii) DETERMINATION- In determining which communities are described in clause (i), the Secretary shall use such data as the Secretary determines are most accurate and appropriate.

(C) LOW-INCOME FAMILY- The term 'low-income family' means a family with an income below the poverty line for the most recent fiscal year for which satisfactory data are available.

## **Section C :**

# **APPLICATION INFORMATION AND PROCEDURES**

Application Background  
Application Deadline  
General Instructions And Procedures  
Absolute Priority  
Competitive Preference  
Selection Criteria



# APPLICATION BACKGROUND

## Program Purpose

The purpose of the Early Childhood Educator Professional Development Program, authorized by section 2151(e) of the ESEA as added by the No Child Left Behind Act, Public Law 107-110, is to enhance the school readiness of young children, particularly disadvantaged young children, and to prevent them from encountering difficulties once they enter school. The program is designed to improve the knowledge and skills of early childhood educators who work in communities that have high concentrations of children living in poverty.

Projects funded under the Early Childhood Educator Professional Development Program will provide a small but significant base of high-quality, intensive, replicable, professional development programs for early childhood educators who are working in early childhood programs that serve concentrations of children from low-income families. Those programs will be based upon the best available research on early childhood pedagogy and child development and learning domains, including early language and literacy development.

Funded projects will be expected to use rigorous methodologies to measure progress toward attaining project objectives. Applicants must meet statutory accountability requirements, which require them to align their objectives and measurement methods with the achievement indicators established by the Secretary that are set forth below in this section, and to report annually to the Secretary on its progress toward attaining those achievement indicators.

## Applicant Eligibility

Eligible applicants for Early Childhood Educator Professional Development grants are partnerships of the following entities:

- (i) One or more institutions of higher education, or public or private entities (including faith-based organizations), that provide professional development for early childhood educators who work with children from low-income families in high-need communities; and
- (ii) One or more public agencies (including local educational agencies, State educational agencies, State human services agencies, and State and local agencies administering programs under the Child Care and Development Block Grant Act of 1990), Head Start agencies, or private organizations (including faith-based organizations); and
- (iii) If feasible, an entity with demonstrated experience in providing training to educators in early childhood education programs concerning identifying and preventing behavior problems or working with children identified as or suspected to be victims of abuse. This entity may be one of the partners described above, if appropriate.

The Secretary considers this partnership to be a group under the group application procedures in 34 CFR sections 75.127 – 75.129. Those provisions require the members of a group applying for grant funds (the partnership, in this case) either to designate one member of the group to apply for the grant, or establish a separate, eligible legal entity to apply for the grant. In their application narrative, applicants should clearly identify the members of the partnership, and explain how each member qualifies under at least one of the eligibility criteria above.

In addition, the group application procedures referenced above require the members of the partnership to enter into, and submit with their grant application, an agreement that details the activities that each member of the partnership plans to perform and binds each member of the group to every statement and assurance made by the applicant in the application. Applicants should submit this **Partnership Agreement** in the Appendix to their applications, as indicated in the Application Checklist in Section D.

### **Achievement Indicators**

In accordance with the statute, the Secretary has established the following achievement indicators for these grants:

Indicator #1: Increasing numbers of hours of high quality professional development will be offered. High-quality professional development must be ongoing, intensive, classroom-focused, and based on scientific research on cognitive and social development in early childhood and effective pedagogy for young children.

Indicator #2: Early childhood educators who work in early childhood programs serving low-income children will participate in greater numbers, and in increasing numbers of hours, in high-quality professional development.

Indicator #3: Early childhood educators will demonstrate increased knowledge and understanding of effective strategies to support school readiness based on scientific research on cognitive and social development in early childhood and effective pedagogy for young children.

Indicator #4: Early childhood educators will more frequently apply research-based approaches in early childhood pedagogy and child development and learning domains, including using a content-rich curriculum and activities that promote language and cognitive development.

Indicator #5: Children will demonstrate improved readiness for school, especially in the areas of appropriate social and emotional behavior and early language and literacy competencies.

Applicants must align their program objectives and measurement methods with these achievement indicators, and report annually to the Secretary on their progress toward attaining those achievement indicators. The statute provides that the Secretary may terminate a grant at any time if the Secretary determines that the applicant partnership is not making satisfactory progress toward attaining these achievement indicators.

## **Program Activities**

The statute authorizes grantees to use the grant funds for activities such as the following:

- (i) professional development for early childhood educators, particularly to familiarize those educators with the application of recent research on child, language, and literacy development and on early childhood pedagogy;
- (ii) professional development for early childhood educators in working with parents, so that the educators and parents can work together to provide and support developmentally appropriate school-readiness services that are based on scientifically based research on early childhood pedagogy and child development and learning domains;
- (iii) professional development for early childhood educators to work with children who have limited English proficiency, children with disabilities, and children with other special needs;
- (iv) professional development to train early childhood educators in identifying and preventing behavioral problems in children or working with children identified as or suspected to be victims of abuse;
- (v) activities that assist and support early childhood educators during their first 3 years in the field;
- (vi) development and implementation of early childhood educator professional development programs that make use of distance learning and other technologies;
- (vii) professional development activities related to the selection and use of screening and diagnostic assessments to improve teaching and learning; and
- (viii) data collection, evaluation, and reporting needed to meet the accountability requirements in the statute and described above under “Achievement Indicators.”

## **Required Application Contents**

Every application must contain the following information:

- (i) A description of the high-need community that the proposed project will serve. Applicants must include demographic and socioeconomic information supporting the qualification of the proposed service area as a “high-need community” as defined under the statute and set forth below under SUPPLEMENTAL INFORMATION-Definitions.
- (ii) Information on the quality of the early childhood educator professional development program that the institution of higher education or another provider in the partnership currently conducts (as of the date of the submission of the application).
- (iii) The results of a needs assessment that the entities in the partnership have undertaken to determine the most critical professional development needs of the early childhood educators who the partnership will serve and of the broader community, and a description of how the proposed project will address those needs.
- (iv) A description of how the proposed project would operate, including a description of--
  - (I) how the applicant would select participants;
  - (II) what types of professional development activities, based on scientifically based research, the applicant would carry out;

(III) how the applicant would use research on effective professional development and on adult learning to design and deliver project activities;

(IV) how the project would be coordinated with and build on, and will not supplant or duplicate, early childhood education professional development activities in the high-need community;

(V) how the project would train early childhood educators to provide developmentally appropriate school-readiness services that are based on the best available research on early childhood pedagogy and child development and learning domains;

(VI) how the project would train early childhood educators to meet the diverse educational needs of children in the community, including children who have limited English proficiency, children with disabilities, or children with other special needs; and

(VII) how the project would train early childhood educators in identifying and preventing behavioral problems in children or working with children identified as or suspected to be victims of abuse.

(v) A description of—

(I) the specific objectives that the partnership would seek to attain through the project, and the methods that the partnership would use to measure progress toward attainment of those objectives; and

(II) how the objectives and the measurement methods align with the achievement indicators established by the Secretary that are included under “Achievement Indicators” in this section.

(vi) A description of the partnership's plan for continuing the activities carried out under the project after Federal funding ceases.

(vii) An assurance that, where applicable, the project would provide appropriate professional development to volunteers working directly with young children, as well as to paid staff.

(viii) An assurance that, in developing the application and in carrying out the project, the partnership has consulted with, and would continue to consult with, relevant agencies, early childhood educator organizations, and early childhood providers that are not members of the partnership.

### **Relevant Statutory Definitions**

The following terms have the following meanings for the purpose of this notice and grant competition:

- The term “early childhood educator” means a person providing, or employed by a provider of, nonresidential child care services (including center-based, family-based, and in-home child care services) that is legally operating under State law, and that complies with applicable State and local requirements for the provision of child care services to children at any age from birth through the age at which a child may start kindergarten in that State. (Section 2151(e)(9)(A) of the ESEA.)

- The term “high-need community” means—
  - (a) a political subdivision of a State, or a portion of a political subdivision of a State, in which at least 50 percent of the children are from low-income families; or
  - (b) a political subdivision of a State that is among the 10 percent of political subdivisions of the State having the greatest numbers of those children. (Section 2151(e)(9)(B) of the ESEA.)
  
- The term “low-income family” means a family with an income below the poverty line for the most recent fiscal year for which satisfactory data are available. (Section 2151(e)(9)(C) of the ESEA.)
  
- The term “poverty line” means the poverty line (as defined by the Office of Management and Budget and revised annually in accordance with section 673(2) of the Community Services Block Grant Act) applicable to a family of the size involved.) (Section 9101(33) of the ESEA.)
  
- The term “professional development” —
  - (A) includes activities that —
    - (i) improve and increase teachers' knowledge of the academic subjects the teachers teach, and enable teachers to become highly qualified;
    - (ii) are an integral part of broad schoolwide and districtwide educational improvement plans;
    - (iii) give teachers, principals, and administrators the knowledge and skills to provide students with the opportunity to meet challenging State academic content standards and student academic achievement standards;
    - (iv) improve classroom management skills;
    - (v)(I) are high quality, sustained, intensive, and classroom-focused in order to have a positive and lasting impact on classroom instruction and the teacher's performance in the classroom; and
    - (II) are not 1-day or short-term workshops or conferences;
    - (vi) support the recruiting, hiring, and training of highly qualified teachers, including teachers who became highly qualified through State and local alternative routes to certification;
    - (vii) advance teacher understanding of effective instructional strategies that are —
      - (I) based on scientifically based research; and
      - (II) strategies for improving student academic achievement or substantially increasing the knowledge and teaching skills of teachers; and
      - (viii) are aligned with and directly related to —
        - (I) State academic content standards, student academic achievement standards, and assessments; and
        - (II) the curricula and programs tied to the standards described in subclause (I);

(ix) are developed with extensive participation of teachers, principals, parents, and administrators of schools to be served under the ESEA;

(x) are designed to give teachers of limited English proficient children, and other teachers and instructional staff, the knowledge and skills to provide instruction and appropriate language and academic support services to those children, including the appropriate use of curricula and assessments;

(xi) to the extent appropriate, provide training for teachers and principals in the use of technology so that technology and technology applications are effectively used in the classroom to improve teaching and learning in the curricula and core academic subjects in which the teachers teach;

(xii) as a whole, are regularly evaluated for their impact on increased teacher effectiveness and improved student academic achievement, with the findings of the evaluations used to improve the quality of professional development;

(xiii) provide instruction in methods of teaching children with special needs;

(xiv) include instruction in the use of data and assessments to inform and instruct classroom practice; and

(xv) include instruction in ways that teachers, principals, pupil services personnel, and school administrators may work more effectively with parents; and

(B) may include activities that —

(i) involve the forming of partnerships with institutions of higher education to establish school-based teacher training programs that provide prospective teachers and beginning teachers with an opportunity to work under the guidance of experienced teachers and college faculty;

(ii) create programs to enable paraprofessionals (assisting teachers employed by a local educational agency receiving assistance under part A of title I of the ESEA) to obtain the education necessary for those paraprofessionals to become certified and licensed teachers; and

(iii) provide follow-up training to teachers who have participated in activities described in subparagraph (A) or another clause of this subparagraph that are designed to ensure that the knowledge and skills learned by the teachers are implemented in the classroom. (Section 9101(34) of the ESEA.)

- The term “scientifically based research”—

(A) means research that involves the application of rigorous, systematic, and objective procedures to obtain reliable and valid knowledge relevant to education activities and programs; and

(B) includes research that—

(i) employs systematic, empirical methods that draw on observation or experiment;

(ii) involves rigorous data analyses that are adequate to test the stated

hypotheses and justify the general conclusions drawn;

(iii) relies on measurements or observational methods that provide reliable and valid data across evaluators and observers, across multiple measurements and observations, and across studies by the same or different investigators;

(iv) is evaluated using experimental or quasi-experimental designs in which individuals, entities, programs, or activities are assigned to different conditions and with appropriate controls to evaluate the effects of the condition of interest, with a preference for random-assignment experiments, or other designs to the extent that those designs contain within-condition or across-condition controls;

(v) ensures that experimental studies are presented in sufficient detail and clarity to allow for replication, or, at a minimum, offer the opportunity to build systematically on their findings; and

(vi) has been accepted by a peer-reviewed journal or approved by a panel of independent experts through a comparably rigorous, objective, and scientific review. (Section 9101(37) of the ESEA.)

### **Applicable Regulations**

The following provisions of the Education Department General Administrative Regulations (EDGAR) contained in Title 34 of the Code of Federal Regulations (CFR) apply to these Early Childhood Educator Professional Development Program grants: 34 CFR Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99. These regulations are available on the Department's website at <http://www.ed.gov>.

## **APPLICATION DEADLINE**

The deadline for the Department's receipt of **Early Childhood Educator Professional Development Program** grant applications is **July 5, 2002** (by 4:30 p.m. EST, if hand-delivered). All applicants must mail or deliver applications so that they are received by the Department's Application Control Center on or before this deadline date and time. The Department will strictly observe this closing date.

## **GENERAL INSTRUCTIONS AND PROCEDURES**

Applicants must submit one original (signed) hard copy of all materials indicated in the Application Checklist in Section D, and four copies of those materials, including an application narrative that is the equivalent of no more than 30 double-spaced pages, a budget, a budget narrative that is no more than 5 double-spaced pages, and other other limited materials described in the Application Checklist.

Peer reviewers will evaluate applications, from eligible partnerships that meet the absolute priority, on one competitive preference and the selection criteria set forth below. The statute

requires the Secretary to select partnerships for grant awards on the basis of the degree to which the communities proposed to be served require assistance, and on the quality of the applications. In addition, the statute requires the Secretary, in selecting partnerships to receive grants, to ensure that communities in different regions of the nation, as well as both urban and rural communities, receive grants. The Department will make award determinations under section 75.217 of the Education Department General Administrative Regulations (EDGAR) (34 CFR 75.217). The Secretary also may take into consideration other information that is relevant to obtaining a variety of types of funded projects.

## **Application Order**

We recommend that you organize your application as follows and include the following parts.

### **PART I: Application for Federal Education Assistance (Standard Form 424; Revised 11/12/99) (attached under Section E of this application package)**

This part of your application consists of the standard application face page on which you provide basic identifying information about the applicant and the application. Specific instructions for completing this form are located on the back of the form.

Applicants should clearly indicate, in block #3 of this form, the CFDA number of the program (# 84.349A) under which the application should be considered. If this information is not provided, your application may be assigned and reviewed under a different program than the one you intended.

You must submit a separate application for each program for which you apply. Each application should be prepared following the instructions and selection criteria as closely as possible.

### **PART II: Project Abstract**

Include a 1 page abstract describing the background of your proposed program, the program's goals and purposes, intended audience, and any special features about how the program would operate.

### **PART III: Assurances and Certifications**

Be certain to include all required and applicable assurances and certifications, and sign each form in the appropriate place. The forms, assurances and certifications, included in this application package under Section E, are as follows:

- Program-Specific Assurances for the Early Childhood Educator Professional Development Program.
- Standard Assurances for Non-Construction Programs (SF 424B).
- Certifications Regarding Lobbying; Debarment, Suspension, and other Responsibility Matters; and Drug-Free Workplace Requirements (ED Form 80-0013).

- Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions and Instructions (ED Form 80-0014) (NOTE: ED 80-0014 is intended for the use of grantees and should not be transmitted to the Department.).
- Disclosure of Lobbying Activities (SF LLL) (if applicable) and Instructions.

**PART IV: Program Narrative**

This part of your application requires a narrative that explains your proposed program, and addresses the absolute priority, the competitive preference, and the selection criteria that will be used by reviewers in evaluating individual proposals. Peer reviewers (reviewers) will rate each application on its response to the selection criteria set forth below, based on how well the applicant responds to those selection criteria. The maximum number of points that an application may receive on the selection criteria is 100. In addition, reviewers will give up to a total of 10 points to applicants that meet the competitive preference.

In the program narrative, first describe how you meet the absolute priority (set forth below). Then describe whether and how the applicant meets the competitive preference (set forth below).

For the remainder of the program narrative, follow the order of the selection criteria listed below, or otherwise cross-reference the selection criteria so that reviewers can easily find where your proposal addresses each selection criteria. Describe in detail the specific activities planned for each year of the two-year funding (project) period. In addition, make sure in your narrative to respond to the Notice to All Applicants (Section 427 of GEPA), in Section E of this application package, regarding the provision that applies to applicants for new grant awards under Department programs.

**Limit your application narrative to no more than 30 double-spaced, single-sided, typed pages.** This application narrative does not include the separate budget narrative. Place the name of the applicant and the page number at the top of each page of the application narrative. You may only include in a separate appendix those supplemental materials that are indicated under “Application Checklist” in Section D of this application package. Any non-print materials (for example, videotapes and CDs) that are submitted will not be considered.

**Budget and Budget Narrative**

Applicants must complete and attach to their applications a proposed budget, using ED Form 524, which is attached (with instructions) in Section E of this application package, and also is available electronically as a Word, Wordperfect, or PDF file on the Department’s website at <http://www.ed.gov/offices/OCFO/grants/appforms.html>

Applicants must accompany this budget form with a budget narrative that is no more than five double-spaced pages (this is in addition to the pages allowed for the application narrative). Place the name of the applicant and the page number at the top of each page of the budget narrative. In the budget narrative, applicants should provide a brief justification of how they intend to spend the funds requested for each budget category. This budget narrative provides an opportunity for

the applicant to identify the general nature and amounts of proposed expenditures within budget categories. There should be enough detail to enable reviewers and project staff to understand what the funds will be used for, how much will be expended, and the relationship between expended funds and project activities and outcomes.

Matching and cost-sharing: Each partnership carrying out an Early Childhood Educator Professional Development Program must provide a cost share of: at least 50 percent of the total cost of the project for the entire grant period; and at least 20 percent of the project cost for each year. The project may provide this cost share from any source other than funds under this program, including other Federal sources. The partnership may provide the project cost share through contributions of cash or in-kind, fairly evaluated, including plant, equipment, and services. Applicants should indicate the amount of their cost share, for each of the 2 years of their proposed project period, by line item, on the budget form, ED Form 524, Section B (Budget Summary – Non-Federal Funds). *For the purposes of completing this form, applicants should consider the term “non-Federal funds” to mean any funds not awarded under the Early Childhood Educator Professional Development Program.*

Indirect Costs: When completing the indirect cost budget category (line 10) on the budget form (ED Form 524, Sections A and B), applicants should note that the permissible indirect cost rate may be limited. For the purposes of indirect cost charges, the Secretary considers all Early Childhood Educator Professional Development Program grants to be educational training grants within the meaning of 34 CFR 75.562(a). Therefore, consistent with 34 CFR 75.562, except for costs incurred by fiscal agents that are State agencies or agencies of local governments, such as local educational agencies, a recipient’s indirect cost rate is limited to the maximum of eight percent or the amount permitted by its negotiated indirect cost rate agreement, whichever is less.

Pre-award Costs: The Department's regulations authorize grant recipients to incur allowable pre-award costs up to 90 calendar days before the grant award (34 CFR 75.263 and 74.25(e)(1)). Pre-award costs, in this case, may include the necessary and reasonable costs of a needs assessment that the statute requires applicants to conduct, before submitting their applications, to determine the most critical professional development needs of the early childhood educators to be served by the project and in the broader community. Applicants incur any pre-award costs at their own risk. That is, the Secretary is under no obligation to reimburse these costs if for any reason the applicant does not receive an award or if the award is less than anticipated and inadequate to cover these costs. Applicants should indicate any pre-award costs that they wish to claim if they receive a grant award (including from Federal funds under the grant, or as part of the project’s matching or cost share) under the applicable line item on the budget forms, ED Form 524, Sections A and B.

### **Page and Formatting Standards**

The following page and formatting standards apply for the application narrative and separate budget narrative:

- A page is 8.5” x 11”, on one side only, with 1” margins at the top, bottom, and both sides.

- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, quotations, references, and captions.
- Use a font that is either 12-point or larger or no smaller than 10 pitch (characters per inch).
- You may use other point fonts for any tables, charts or graphs. However, those tables, charts or graphs are included in the over-all narrative page limits.

**Do not include any enclosures or appendices other than those listed on the “Application Checklist.” The Department will instruct reviewers to base their evaluations and scoring only on the information contained in up to 30 pages of application narrative, the budget, up to 5 pages of the budget narrative, and the other limited materials listed in the Application Checklist, such as the Partnership Agreement. Any non-print materials, such as videotapes or CDs, will not be considered.**

Reviewers will not evaluate any of the specified sections of your applications that exceed the page limit if you apply the above standards or that exceed the equivalent of the page limit if you apply other standards.

Please submit the original signed application (and the four copies) in a format that will ensure that the application stays intact (e.g., using staples or binder clips), and that no pages are lost during our handling and review processes (for example, do not use rubber bands or paper clips).

### **Appendices and Other Material**

You must submit a Partnership Agreement with your application. That Partnership Agreement is an agreement among the entities that are eligible under the statute to apply as partners for these funds, and must: (1) detail the activities that each member of the group plans to perform; and (2) bind each member of the group to every statement and assurance made in the application by the applicant designated to apply on behalf of the group (or the separate legal entity that the partners have formed to apply for the grant) (see 34 CFR sections 75.127 – 75.128). The application may not include enclosures other than those listed on the Early Childhood Educator Professional Development Program Application Checklist (see Section D).

## **ABSOLUTE PRIORITY**

**In order to be considered for funding, an applicant must meet the following absolute priority. Under 34 CFR 75.105(c)(3), the Secretary gives an absolute preference to any eligible applicant partnership that meets the following criteria. To qualify under this Absolute Priority, an applicant that otherwise meets the priority must describe in its application narrative how it meets the priority, and must sign and submit with its application the Program-Specific Assurances and Certification (in Section E of this application package).**

The partnership proposes a project to provide professional development services that will improve the knowledge and skills of early childhood educators who are working in early childhood programs that:

- (1) are located high-need communities; and
- (2) serve concentrations of children from low-income families.

The statute requires every applicant to describe in its application the high-need community to be served by the project. Applicants should include relevant demographic and socio-economic information to support this description. To meet this priority, all early childhood programs served by the early childhood educators receiving services under this grant must be located in a “high-need community.”

For the purpose of this priority, the Secretary considers an early childhood program to serve a “concentration” of children from low-income families if the number of children in the program from low-income families is over 50% of the total number of children served by the program.

The following terms used in this absolute priority have statutory definitions that are included under “Relevant Statutory Definitions” in this section of the application package: “early childhood educator,” “high-need community,” “low-income family,” and “professional development.”



*Under 34 CFR 75.105(c)(3), the Secretary will fund under this competition only applicants that meet this absolute priority.*

## COMPETITIVE PREFERENCE

**Under 34 CFR 75.105(c)(2), the Secretary gives a competitive preference to the following applications. To obtain points under this competitive preference, an applicant that qualifies must describe in its application narrative how it meets the preference.**

Applications that propose to provide research-based professional development to early childhood educators to improve their knowledge and skills in working effectively with preschool-age children who have been identified as having a learning disability or whose pre-literacy skills put them at high risk of later being identified as having a learning disability.

The following terms used in this competitive preference have statutory definitions that are included under “Relevant Statutory Definitions” in this section of the application package: “early childhood educator,” and “professional development.”



*An application that meets this competitive preference would receive 10 points in the competition. These points are in addition to any points the applicant earns under the selection criteria.*

## SELECTION CRITERIA

The Secretary will use the following selection criteria in 34 CFR 75.210 to evaluate applications under this competition. The maximum score for all of these selection criteria is 100 points. The maximum score for each criterion is indicated in parenthesis with the criterion. The criterion, and the factors within each criterion, are as follows:

**(a) Need for project (up to 5 points).**

(1) The Secretary considers the need for the proposed project.

(2) In determining the need for the proposed project, the Secretary considers the following factor:

(i) The extent to which specific gaps or weakness in services, infrastructure, or opportunities have been identified and will be addressed by the proposed project, including the nature and magnitude of those gaps or weaknesses.

*(NOTE: The statute requires every applicant to describe in its application the results of a needs assessment that the applicant partnership has undertaken to determine the most critical professional development needs of the early childhood educators to be served by the partnership and in the broader community, and to describe how the proposed project will address those needs.)*

**(b) Significance (up to 10 points).**

(1) The Secretary considers the significance of the proposed project.

(2) In determining the significance of the proposed project, the Secretary considers the following factors:

(i) The importance or magnitude of the results or outcomes likely to be attained by the proposed project.

*(NOTE: The statute requires every applicant to include in its application information on the quality of the early childhood educator professional development program currently conducted by one or more of the partners in the applicant partnership, and to describe how the project will be carried out, including how the individuals will be selected to participate.)*

(ii) The extent to which the proposed project is likely to build local capacity to provide, improve, or expand services that address the needs of the target population.

*(NOTE: The statute requires every applicant to provide an assurance that, in developing the application and carrying out the project, it has consulted with, and will consult with, relevant agencies, early childhood educator organizations, and early childhood providers that are not members of the partnership. The statute also requires every applicant to describe in its application how the project will be coordinated with and build on, and will not supplant or duplicate, early childhood education professional*

*development activities in the high-need community. In addition, the statute requires every applicant to describe in its application the partnership's plan for continuing the activities carried out under the project after Federal funding ceases.)*

**(c) Quality of the project design (up to 25 points).**

(1) The Secretary considers the quality of the design of the proposed project.

(2) In determining the quality of the design of the proposed project, the Secretary considers the following factors:

(i) The extent to which the proposed activities constitute a coherent, sustained program of training in the field.

*(NOTE: Applicants may address this selection criterion and factor in any way that they choose. However, the Secretary believes that high-quality applications likely will provide a professional development program that includes the activities listed under the statutory definition of "professional development" set forth in this section under "APPLICATION BACKGROUND — Relevant Statutory Definitions," such as activities that are high-quality, sustained, and intensive, in order to have a positive and lasting impact on teacher instruction and performance; and activities that will advance teacher understanding of effective instructional strategies that are based on scientifically based research.)*

(ii) The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice.

*(NOTE: The statute requires every applicant, in describing how the proposed project will be carried out, to include a description of the types of professional development activities based on scientifically based research that the partnership will carry out; how research on effective professional development and on adult learning will be used to design and deliver project activities; and how the project will train early childhood educators to provide developmentally appropriate school-readiness services that are based on the best available research on early childhood pedagogy and child development and learning.)*

(iii) The extent to which the design for implementing and evaluating the proposed project will result in information to guide possible replication of project activities or strategies, including information about the effectiveness of the approach or strategies employed by the project.

**(d) Quality of project services (up to 20 points).**

(1) The Secretary considers the quality of the services to be provided by the proposed project.

(2) In determining the quality of the services to be provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and

treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

(3) In addition, the Secretary considers the following factors:

(i) The extent to which the services to be provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services.

*(NOTE: As indicated in the Note following the selection criterion on “Need for Project,” the statute requires every applicant to describe in its application how the proposed project will address the most critical professional development needs, as identified by the needs assessment that the partnership conducted, of the early childhood educators to be served by the partnership and in the broader community. In addition, the statute requires every applicant to provide an assurance that, where applicable, the project will provide appropriate professional development to volunteers working directly with young children, as well as to paid staff.*

*With respect to the intended beneficiaries who are the preschool-age children, the statute also requires every applicant, in describing how the proposed project will be carried out, to include a description of how the project will train early childhood educators to meet the diverse educational needs of children in the community, including children who have limited English proficiency, children with disabilities, or children with other special needs, and how it will train early childhood educators in identifying and preventing behavioral problems in children or working with children identified as or suspected to be victims of abuse.)*

(ii) The extent to which the training or professional development services to be provided by the proposed project are of sufficient quality, intensity, and duration to lead to improvements in practice among the recipients of those services.

*(NOTE: Applicants may address this selection criterion and factor in any way that they choose. However, the Secretary believes, however, that high-quality applications likely will propose a professional development program that will be large enough in scope to serve a significant number of early childhood educators, but that will be sufficiently limited in size to enable the applicant to provide high-quality professional development that is of sufficient intensity and duration to ensure improvements in the practices, including instruction and teaching performance, among educators receiving those services. As a part of the description of how the proposed project will be carried out, the Secretary anticipates that high-quality applications likely will include specific information on how many early childhood educators the project would serve, and how many early childhood programs the applicant anticipates will be directly enhanced by improvements in practice among educators receiving the professional development services.)*

**(e) Quality of project personnel (up to 10 points).**

(1) The Secretary considers the quality of the personnel who will carry out the proposed project.

(2) In determining the quality of project, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have been traditionally underrepresented based on race, color, national origin, gender, age, or disability.

(3) In addition, the Secretary considers the following factors:

(i) The qualifications, including relevant training and experience, of key project personnel.

(ii) The qualifications, including relevant training and experience, of project consultants or subcontractors.

**(f) Quality of the management plan (up to 10 points).**

(1) The Secretary considers the quality of the management plan for the proposed project.

(2) In determining the quality of the management plan for the proposed project, the Secretary considers the following factors:

(i) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks.

*(NOTE: Applicants may address this criterion and factor in any way that they choose. However, the Secretary anticipates that high-quality applications likely will include high-quality management plans for project implementation that specifically describe the activities each partner will be responsible for performing, the person responsible for those activities, and the approximate timeline within the project period of when those activities will be accomplished.*

*Applicants must align their project objectives and measurement methods with the achievement indicators established by the Secretary for this grant competition that are set forth in this section under "APPLICATION BACKGROUND — Achievement Indicators."*

(ii) The extent to which the time commitments of the project director and principal investigator and key project personnel are appropriate and adequate to meet the objectives of the proposed project.

**(g) Quality of proposed evaluation (up to 20 points).**

(1) The Secretary considers the quality of the evaluation to be conducted of the proposed project.

(2) In determining the quality of the evaluation, the Secretary considers the following factor:

(i) The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project.

*(NOTE: The statute requires every applicant to describe in its application the specific objectives that the partnership will seek to attain through the project, the methods that the partnership will use to measure progress toward attainment of those objectives, and*

*how the objectives and the measurement methods align with the achievement indicators established by the Secretary that are set forth in this section under “APPLICATION BACKGROUND — Achievement Indicators”. The Secretary believes that high-quality applications likely will include the use of rigorous methodologies with assessments that are reliable and valid for the purposes intended.)*

(ii) The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment or progress toward achieving intended outcomes.

*(NOTE: The statute requires each partnership receiving a grant under this competition to report annually to the Secretary on the partnership’s progress toward attaining the achievement indicators that are set forth under “APPLICATION BACKGROUND — Achievement Indicators.”)*

**Section D :**

**TRANSMITTAL INSTRUCTIONS AND CHECKLIST**

Application Transmittal Instructions  
Application Checklist



## APPLICATION TRANSMITTAL INSTRUCTIONS

Applicants must deliver or mail their applications in sufficient time for the Department's Application Control Center to receive the application by the deadline date of **July 5, 2002** (by 4:30 p.m., Eastern Standard Time (EST), if hand-delivered, including delivery by courier):

U.S. Department of Education  
Application Control Center — Room 3671  
Early Childhood Educator Professional Development Grant Program  
Attention: CFDA No. 84.349A  
400 Maryland Avenue, S.W.  
Washington, DC 20202-4725  
Telephone: (202) 708-9493

**SPECIAL NOTE:** Due to recent disruptions to normal mail delivery, the Department encourages you to consider using an alternative delivery method to normal mail delivery (for example, a commercial carrier, such as Federal Express or United Parcel Service; U.S. Postal Service Express mail; or a courier service) to transmit your application to the Department. **If you use an alternative delivery method, please follow the instructions for "Applications Delivered by Hand."**

### **Applications Delivered by Hand**

Hand-delivered applications must be delivered and received by the Department's Application Control Center by 4:30 p.m. EST on or before the deadline at the:

U.S. Department of Education  
Application Control Center — Room 3671  
Early Childhood Educator Professional Development Grant Program  
Attention: CFDA No. 84.349A  
General Services Administration National Capital Region  
7th and D Streets, SW  
Washington, DC 20202-4725.

The Application Control Center will accept deliveries between 8:00 a.m., and 4:30 p.m. (Washington, DC Time) daily, except Saturdays, Sundays, and Federal holidays. Individuals delivering applications must use the D Street Entrance. Proper identification is necessary to enter the building. Hand-delivered applications received after 4:30 p.m. EST on the deadline date will not be read.

### **Grant Application Receipt Acknowledgment**

If you send your application by mail or if you or your courier delivers it by hand, the Application Control Center will mail a Grant Application Receipt Acknowledgement to you. If you fail to

receive the notification of application receipt within fifteen (15) days from the closing date call:

U.S. Department of Education  
Application Control Center  
(202) 708-9493

If your application is late, we will notify you that we will not consider the application.

# APPLICATION CHECKLIST

*The Early Childhood Educator Professional Development Program Application (in this order):*

## **Part I: Preliminary Documents**

- ED 424 Form, Application for Federal Assistance, CFDA No. 84.349B (Face Sheet) (in Section E of this application package)
- Title Page
- Table of Contents
- Abstract briefly describing proposed project (1 page only, double-spaced, not numbered)

## **Part II: Application Narrative**

- Application Narrative: the equivalent of no more than 30 pages, double-spaced, 12 point font, addressing the absolute priority, the competitive preference (if applicable), the selection criteria, and the Notice to Applicants (Section 427, GEPA) (included under Section E of this application package).

## **Part III: Budget Information**

- ED 524 Form, Budget Information – Non-Construction Programs, Sections A, B, and C for Project Years 1 and 2.
- Budget Narrative (Explanation of proposed costs in narrative form – this is in addition to the above estimated budget – the equivalent of no more than 5 pages, double-spaced, 12 point font)

## **The Appendices (limited to the following)**

- Curriculum vitae of key personnel (including key contract personnel and consultants)
- Partnership Agreement (**required**)

## **Assurances and Certifications**

- Program-Specific Assurances for the Early Childhood Educator Professional Development Program
- SF 424B Form - Assurance - Non-construction Programs
- ED 80-0013 Form - Certifications Regarding Lobbying; Debarment, Supervision and other Responsibility Matters; and Drug free Workplace Requirements
- ED 80-0014 Form - Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions
- SF LLL Form - Disclosure of Lobbying Activities (SF LLL) (submit if applicable)
- Response to Notice to All Applicants (Section 427, GEPA) (Notice is provided after “Full Application Forms” list.)

Please check to make sure that you have done the following:

- ❑ The Application for Federal Assistance ED Form 424 (CFDA No. 84.359B) has been signed and dated by an authorized official and you have included the signed original with your submission.
- ❑ The budget amount on ED Form 424 (Application for Federal Assistance face sheet), items 13 (a-g) and are for Year 1 only.
- ❑ You have included one original and four copies of the complete application, including required budget materials, and signed assurances and certifications.

## **Section E :**

### **APPLICATION FORMS, NOTICES, AND OTHER IMPORTANT INFORMATION**

Application for Federal Education Assistance (SF 424), Instructions, and Attachment  
Budget Information—Non-Construction Programs (ED Form 524, Sections A, B, and C) and  
Instructions

Assurances and Certifications:

Program-Specific Assurances for the Early Childhood Educator Professional  
Development Program

Standard Assurances for Non-Construction Programs (SF 424B)

Certifications Regarding Lobbying; Debarment, Suspension, and other Responsibility  
Matters; and Drug-Free Workplace Requirements (ED Form 80-0013)

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—  
Lower Tier Covered Transactions and Instructions (ED Form 80-0014)

Disclosure of Lobbying Activities (SF LLL) (if applicable) and Instructions

Notice to All Applicants (Section 427 of the General Education Provisions Act (GEPA))

Other Important Information:

Executive Order 12372 (Intergovernmental Review of Federal Programs)

Single State Point of Contact List

Important Notice to Prospective Participants in U.S. Department of Education Grant and  
Contract Programs



# Application for Federal Education Assistance (ED 424)



U.S. Department of Education

Form Approved  
OMB No. 1875-0106  
Exp. 11/30/2004

## Applicant Information Organizational Unit

### 1. Name and Address

Legal Name: \_\_\_\_\_

Address: \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ County \_\_\_\_\_ ZIP Code + 4 \_\_\_\_\_

2. Applicant's D-U-N-S Number | | | | | | | | | | | | | | | | | |

6. Novice Applicant  Yes  No

3. Applicant's T-I-N | | | | - | | | | | | | | | | | | | | | | | |

7. Is the applicant delinquent on any Federal debt?  Yes  No  
(If "Yes," attach an explanation.)

4. Catalog of Federal Domestic Assistance #: 84. | | | | | | | | | |

Title: \_\_\_\_\_

8. Type of Applicant (Enter appropriate letter in the box.) | | | |

5. Project Director: \_\_\_\_\_

Address: \_\_\_\_\_

- A - State
- B - Local
- C - Special District
- D - Indian Tribe
- E - Individual
- F - Independent School District
- G - Public College or University
- H - Private, Non-profit College or University
- I - Non-profit Organization
- J - Private, Profit-Making Organization

K - Other (Specify): \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip code + 4 \_\_\_\_\_

Tel. #: ( ) \_\_\_\_\_ - \_\_\_\_\_ Fax #: ( ) \_\_\_\_\_ - \_\_\_\_\_

E-Mail Address: \_\_\_\_\_

## Application Information

### 9. Type of Submission:

- PreApplication
- Application
- Construction
- Non-Construction
- Construction
- Non-Construction

### 10. Is application subject to review by Executive Order 12372 process?

- Yes (Date made available to the Executive Order 12372 process for review): \_\_\_\_/\_\_\_\_/\_\_\_\_
- No (If "No," check appropriate box below.)
  - Program is not covered by E.O. 12372.
  - Program has not been selected by State for review.

12. Are any research activities involving human subjects planned at any time during the proposed project period?  
 Yes (Go to 12a.)  No (Go to item 13.)

12a. Are all the research activities proposed designated to be exempt from the regulations?  
 Yes (Provide Exemption(s) #): \_\_\_\_\_  
 No (Provide Assurance #): \_\_\_\_\_

11. Proposed Project Dates: \_\_\_\_/\_\_\_\_/\_\_\_\_

Start Date: \_\_\_\_\_ End Date: \_\_\_\_\_

13. Descriptive Title of Applicant's Project:

## Estimated Funding

- 14a. Federal \$ \_\_\_\_\_ .00
- b. Applicant \$ \_\_\_\_\_ .00
- c. State \$ \_\_\_\_\_ .00
- d. Local \$ \_\_\_\_\_ .00
- e. Other \$ \_\_\_\_\_ .00
- f. Program Income \$ \_\_\_\_\_ .00
- g. TOTAL \$ \_\_\_\_\_ .00

## Authorized Representative Information

15. To the best of my knowledge and belief, all data in this preapplication/application are true and correct. The document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.

a. Authorized Representative (Please type or print name clearly.) \_\_\_\_\_

b. Title: \_\_\_\_\_

c. Tel. #: ( ) \_\_\_\_\_ - \_\_\_\_\_ Fax #: ( ) \_\_\_\_\_ - \_\_\_\_\_

d. E-Mail Address: \_\_\_\_\_

e. Signature of Authorized Representative \_\_\_\_\_

Date: \_\_\_\_/\_\_\_\_/\_\_\_\_



## Instructions for Form ED 424

- 1. Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
  - 2. D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com>.
  - 3. Tax Identification Number.** Enter the taxpayer's identification number as assigned by the Internal Revenue Service.
  - 4. Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested. The CFDA number can be found in the federal register notice and the application package.
- Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
- Novice Applicant.** Check "Yes" or "No" only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank.**
- Check "Yes" if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled "Definitions for Form ED 424." By checking "Yes" the applicant certifies that it meets these novice applicant requirements. Check "No" if you do not meet the requirements for novice applicants.
- 7. Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
  - 8. Type of Applicant.** Enter the appropriate letter in the box provided.
  - 9. Type of Submission.** See "Definitions for Form ED 424" attached.
  - 10. Executive Order 12372.** See "Definitions for Form ED 424" attached. Check "Yes" if the application is subject to review by E.O. 12372. Also, please enter the month, day, and four (4) digit year (e.g., 12/12/2001). Otherwise, check "No."
  - 11. Proposed Project Dates.** Please enter the month, day, and four (4) digit year (e.g., 12/12/2001).
  - 12. Human Subjects Research.** (See I.A. "Definitions" in attached page entitled "Definitions for Form ED 424.")
    - If Not Human Subjects Research.** Check "No" if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 12 are then not applicable.
    - If Human Subjects Research.** Check "Yes" if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check "Yes" even if the research is exempt from the regulations for the protection of human subjects. (See I.B. "Exemptions" in attached page entitled "Definitions for Form ED 424.")
  - 12a. If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check "Yes" if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I.B. "Exemptions." In addition, follow the instructions in II.A. "Exempt Research Narrative" in the attached page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.
  - 12a. If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check "No" if some or all of the planned research activities are

covered (not exempt). In addition, follow the instructions in II.B. "Nonexempt Research Narrative" in the page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

**12a. Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) or Multiple Project Assurance (MPA) with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter "None." In this case, the applicant, by signature on the face page, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

**Note about Institutional Review Board Approval.** ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

**13. Project Title.** Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.

**14. Estimated Funding.** Amount requested or to be contributed during the first funding/budget period

by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate **only** the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 14.

**15. Certification.** To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 15e, please enter the month, day, and four (4) digit year (e.g., 12/12/2001) in the date signed field.

**Paperwork Burden Statement.** According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1875-0106. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, S.W. ROB-3, Room 3633, Washington, D.C. 20202-4725

## Definitions for Form ED 424

**Novice Applicant (See 34 CFR 75.225).** For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

**Type of Submission.** "Construction" includes construction of new buildings and acquisition, expansion, remodeling, and alteration of existing buildings, and initial equipment of any such buildings, or any combination of such activities (including architects' fees and the cost of acquisition of land). "Construction" also includes remodeling to meet standards, remodeling designed to conserve energy, renovation or remodeling to accommodate new technologies, and the purchase of existing historic buildings for conversion to public libraries. For the purposes of this paragraph, the term "equipment" includes machinery, utilities, and built-in equipment and any necessary enclosures or structures to house them; and such term includes all other items necessary for the functioning of a particular facility as a facility for the provision of library services.

**Executive Order 12372.** The purpose of Executive Order 12372 is to foster an intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and

review of proposed Federal financial assistance and direct Federal development. The application notice, as published in the Federal Register, informs the applicant as to whether the program is subject to the requirements of E.O. 12372. In addition, the application package contains information on the State Single Point of Contact. An applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact. For additional information on E.O. 12372 go to <http://www.cfda.gov/public/eo12372.htm>.

## PROTECTION OF HUMAN SUBJECTS IN RESEARCH

### I. Definitions and Exemptions

#### A. Definitions.

***A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.***

#### —Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as "a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge." *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

#### —Human Subject

The regulations define human subject as "a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information." (1) *If an activity involves obtaining information about a*

living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met. [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

## **B. Exemptions.**

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities***

***being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

## **II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives**

If the applicant marked "Yes" for Item 12 on the ED 424, the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative

and insert it immediately following the ED 424 face page.

### **A. Exempt Research Narrative.**

If you marked “Yes” for item 12 a. and designated exemption numbers(s), provide the “exempt research” narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

### **B. Nonexempt Research Narrative.**

If you marked “No” for item 12 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

**(1) Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

**(2) Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

**(3) Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver

of the elements of consent or the requirement for documentation of consent.

**(4) Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

**(5) Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

**(6) Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

**(7) Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

*Copies of the Department of Education’s Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4248, telephone: (202) 708-8263, and on the U.S. Department of Education’s Protection of Human Subjects in Research Web Site at <http://www.ed.gov/offices/OCFO/humansub.html>*





**U.S. DEPARTMENT OF EDUCATION**

**BUDGET INFORMATION**

**NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1890-0004

Expiration Date: 02/28/2003

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION A - BUDGET SUMMARY  
U.S. DEPARTMENT OF EDUCATION FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						



Name of Institution/Organization	Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.
----------------------------------	---

**SECTION B - BUDGET SUMMARY  
NON-FEDERAL FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

**SECTION C - OTHER BUDGET INFORMATION (see instructions)**



Public reporting burden for this collection of information is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, Information Management and Compliance Division, Washington, D.C. 20202-4651; and the Office of Management and Budget, Paperwork Reduction Project 1875-0102, Washington DC 20503.

## INSTRUCTIONS FOR ED FORM 524

### General Instructions

This form is used to apply to individual U.S. Department of Education discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached.

### Section A - Budget Summary U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

### Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

### Section C - Other Budget Information

Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, by project year, for each budget category listed in Sections A and B.
2. If applicable to this program, enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period. In addition, enter the estimated amount of the base to which the rate is applied, and the total indirect expense.
3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
4. Provide other explanations or comments you deem necessary.



**PROGRAM-SPECIFIC ASSURANCES AND CERTIFICATION  
FOR  
EARLY CHILDHOOD EDUCATOR PROFESSIONAL DEVELOPMENT  
PROGRAM GRANT APPLICATIONS FOR FISCAL YEAR 2002**

As the duly authorized representative of the applicant, I hereby assure and certify that:

- (1) Where applicable, the project if funded will provide appropriate professional development to volunteers working directly with young children, as well as to paid staff.
- (2) In developing the application the partnership has consulted with, and in carrying out the project if funded will continue to consult with, relevant agencies, early childhood educator organizations, and early childhood providers that are not members of the partnership.
- (3) The applicant entity is applying on behalf of a partnership that contains at least the following entities:
  - (i) One or more institutions of higher education, or public or private entities, that provide professional development for early childhood educators who work with children from low-income families in high-need communities; and
  - (ii) One or more public agencies (including local educational agencies, State educational agencies, State human services agencies, and State and local agencies administering programs under the Child Care and Development Block Grant Act of 1990), Head Start agencies, or private organizations; and
  - (iii) If feasible, an entity with demonstrated experience in providing training to educators in early childhood education programs concerning identifying and preventing behavior problems or working with children identified as or suspected to be victims of abuse. (This entity may be one of the partners described above, if appropriate.)

Name of Applicant:	PR/Award No.:
Printed Name and Title of Authorized Representative:	
Signature:	Date:



## ASSURANCES - NON-CONSTRUCTION PROGRAMS

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Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

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**Note:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. . . 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. . . 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. . 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. . . 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) . . 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. . . 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. . 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. . . 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. . . 276a to 276a-7), the Copeland Act (40 U.S.C. . 276c and 18 U.S.C. . . 874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. . . 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. . . 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. . . 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. . . 1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. . 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. . . 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. . . 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. . . 4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133,  Audits of States, Local Governments, and Non-Profit Organizations.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

**CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER  
RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS**

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

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**1. LOBBYING**

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

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**2. DEBARMENT, SUSPENSION, AND OTHER  
RESPONSIBILITY MATTERS**

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (2)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

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**3. DRUG-FREE WORKPLACE  
(GRANTEES OTHER THAN INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about:

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

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Check  if there are workplaces on file that are not identified here.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT	PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

**DRUG-FREE WORKPLACE  
(GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

**Certification Regarding Debarment, Suspension, Ineligibility and  
Voluntary Exclusion -- Lower Tier Covered Transactions**

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

**Instructions for Certification**

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled  Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions,  without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

**Certification**

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE



**Disclosure of Lobbying Activities**

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

(See reverse for public burden disclosure)

<p><b>1. Type of Federal Action:</b>  a. contract  _____ b. grant  c. cooperative agreement  d. loan  e. loan guarantee  f. loan insurance</p>	<p><b>2. Status of Federal Action:</b>  a. bid/offer/application  _____ b. initial award  c. post-award</p>	<p><b>3. Report Type:</b>  a. initial filing  _____ b. material change</p> <p><b>For material change only:</b>  Year _____ quarter _____  Date of last report _____</p>
<p><b>4. Name and Address of Reporting Entity:</b>  _____ Prime _____ Subawardee  Tier _____, if Known:</p> <p><b>Congressional District, if known:</b></p>	<p><b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b></p> <p><b>Congressional District, if known:</b></p>	
<p><b>6. Federal Department/Agency:</b></p>	<p><b>7. Federal Program Name/Description:</b></p> <p>CFDA Number, if applicable: _____</p>	
<p><b>8. Federal Action Number, if known:</b></p>	<p><b>9. Award Amount, if known:</b></p> <p>\$ _____</p>	
<p><b>10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI):</b></p>	<p><b>b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):</b></p>	
<p><b>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b></p>	<p><b>Signature:</b> _____</p> <p><b>Print Name:</b> _____</p> <p><b>Title:</b> _____</p> <p><b>Telephone No.:</b> _____ <b>Date:</b> _____</p>	
<p><b>Federal Use Only</b></p>	<p><b>Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)</b></p>	



## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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*According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503*



## NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Pub. L. 103-382).

### **To Whom Does This Provision Apply?**

Section 427 of GEPA affects applicants for new grant awards under this program.

### **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

### **What Does This Provision Require?**

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs.

This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

### **What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?**

The following examples may help illustrate how an applicant may comply with Section 427.

(1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.

(2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.

(3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

**Estimated Burden Statement for GEPA Requirements** The time required to complete this information collection is estimated to vary from 1 to 3 hours per response, with an average of 1.5 hours, including the time to review instructions, search existing data resources, gather and maintain the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, DC 20202-4651.

*Appendix*  
**Intergovernmental Review of Federal Programs**

This appendix applies to each program that is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR part 79.

The objective of the Executive order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each of those States under the Executive order. A listing containing the Single Point of Contact for each State is included in this appendix.

In States that have not established a process or chosen a program for review, State, areawide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, areawide, regional, and local entities must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372--CFDA# [commenter must insert number--including suffix letter, if any], U.S. Department of Education, room 7W301, 400 Maryland Avenue, SW., Washington, DC 20202.

Proof of mailing will be determined on the same basis as applications (see 34 CFR 75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (Washington, DC time) on the date indicated in the actual application notice.

**PLEASE NOTE THAT THE ABOVE ADDRESS IS NOT THE SAME ADDRESS AS THE ONE TO WHICH THE APPLICANT SUBMITS ITS COMPLETED APPLICATION. DO NOT SEND APPLICATIONS TO THE ABOVE ADDRESS.**



**The list below, prepared by the U.S. Department of Education is an unofficial version of the State Single Point of Contact (SPOC) List published by the Office of Management and Budget (OMB). The Department has made every effort to ensure the accuracy of the information contained in this unofficial version. It reflects those changes made by OMB as of 08/15/01. The only official and up to date version of the State Single Point of Contact (SPOC) List is posted on the Grants Management section of the OMB web site: <http://www.whitehouse.gov/omb/grants/spoc.html>. You may review and/or download the Adobe pdf (portable document format) version of this document at the aforementioned site. Please include this statement in any reproduction of this unofficial list.**

**You are strongly encouraged to access the Intergovernmental Review (SPOC List) link to the Grants Management Information section of the OMB web page regularly in the course of completing grant applications to be submitted to your designated State Single Point of Contact (SPOC). If you do not have access to the Internet, please use the list below to contact the office or individual listed in order to confirm the State Single Point of Contact (SPOC).**

**STATE SINGLE POINTS OF CONTACT (SPOCs)**

It is estimated that in 2001, the Federal Government will outlay \$305.6 billion in grants to State and local governments. Executive Order 12372, "Intergovernmental Review of Federal Programs," was issued with the desire to foster the intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The Order allows each State to designate an entity to perform this function. Below is the official list of those entities. For those States that have a home page for their designated entity, a direct link has been provided on the official version <http://www.whitehouse.gov/omb/grants/spoc.html>.

**States that are not listed on this page have chosen not to participate in the intergovernmental review process, and therefore do not have a SPOC. If you are located within one of these States, you may still send application material directly to a Federal awarding agency.**

Contact information for Federal agencies that award grants can be found in Appendix IV of the Catalog of Federal Domestic Assistance. [<http://www.cfda.gov/public/cat-app4-index.htm>]

<p><b><u>ARKANSAS</u></b>            Tracy L. Copeland            Manager, State Clearinghouse            Office of Intergovernmental Services            Department of Finance and Administration            1515 W. 7<sup>th</sup> Street, Room 412            Little Rock, Arkansas 72203            Telephone: (501) 682-1074            FAX: (501) 682-5206  <a href="mailto:tlcopeland@dfa.state.ar.us">tlcopeland@dfa.state.ar.us</a></p>	<p><b><u>CALIFORNIA</u></b>            Grants Coordination            State Clearinghouse            Office of Planning and Research            P.O. Box 3044, Room 222            Sacramento, California 95812-3044            Telephone: (916) 445-0613            FAX: (916) 323-3018  <a href="mailto:state.clearinghouse@opr.ca.gov">state.clearinghouse@opr.ca.gov</a></p>
<p><b><u>DELAWARE</u></b>            Charles H. Hopkins            Executive Department            Office of the Budget            540 S. Dupont Highway , 3<sup>rd</sup> Floor            Dover, Delaware 19901            Telephone: (302) 739-3323            FAX: (302) 739-5661  <a href="mailto:chopkins@state.de.us">chopkins@state.de.us</a></p>	<p><b><u>DISTRICT OF COLUMBIA</u></b>            Luisa Montero-Diaz            Office of Partnerships and Grants            Development            Executive Office of the Mayor            District of Columbia Government            414 4<sup>th</sup> Street, NW, Suite 530 South            Washington, DC 20001            Telephone: (202) 727-8900            FAX: (202) 727-1652  <a href="mailto:opgd.eom@dc.gov">opgd.eom@dc.gov</a></p>

<p><b><u>FLORIDA</u></b>  Jasmin Raffington  Florida State Clearinghouse  Department of Community Affairs  2555 Shumard Oak Blvd.  Tallahassee, Florida 32399-2100  Telephone: (850) 922-5438  FAX: (850) 414-0479  <a href="mailto:clearinghouse@dca.state.fl.us">clearinghouse@dca.state.fl.us</a></p>	<p><b><u>GEORGIA</u></b>  Georgia State Clearinghouse  270 Washington Street, SW  Atlanta, Georgia 30334  Telephone: (404) 656-3855  FAX: (404) 656-7901  <a href="mailto:gach@mail.opb.state.ga.us">gach@mail.opb.state.ga.us</a></p>
<p><b><u>ILLINOIS</u></b>  Virginia Bova  Department of Commerce and Community Affairs  James R. Thompson Center  100 West Randolph, Suite 3-400  Chicago, Illinois 60601  Telephone: (312) 814-6028  FAX: (312) 814-8485  <a href="mailto:vbova@commerce.state.il.us">vbova@commerce.state.il.us</a></p>	<p><b><u>IOWA</u></b>  Steven R. McCann  Division of Community and Rural Development  Iowa Department of Economic Development  200 East Grand Avenue  Des Moines, Iowa 50309  Telephone: (515) 242-4719  FAX: (515) 242-4809  <a href="mailto:steve.mccann@ided.state.ia.us">steve.mccann@ided.state.ia.us</a></p>
<p><b><u>KENTUCKY</u></b>  Ron Cook  Department for Local Government  1024 Capital Center Drive, Suite 340  Frankfort, Kentucky 40601  Telephone: (502) 573-2382  FAX: (502) 573-2512  <a href="mailto:ron.cook@mail.state.ky.us">ron.cook@mail.state.ky.us</a></p>	<p><b><u>MAINE</u></b>  Joyce Benson  State Planning Office  184 State Street  38 State House Station  Augusta, Maine 04333  Telephone: (207) 287-3261  Telephone: (207) 287-1461 (direct)  FAX: (207) 287-6489  <a href="mailto:joyce.benson@state.me.us">joyce.benson@state.me.us</a></p>
<p><b><u>MARYLAND</u></b>  Linda Janey  Manager, Clearinghouse and Plan Review Unit  Maryland Office of Planning  301 West Preston Street – Room 1104  Baltimore, Maryland 21201-2305  Telephone: (410) 767-4490  FAX: (410) 767-4480  <a href="mailto:linda@mail.op.state.md.us">linda@mail.op.state.md.us</a></p>	<p><b><u>MICHIGAN</u></b>  Richard Pfaff  Southeast Michigan Council of Governments  535 Griswold, Suite 300  Detroit, Michigan 48226  Telephone: (313) 961-4266  FAX: (313) 961-4869  <a href="mailto:pfaff@semcoq.org">pfaff@semcoq.org</a></p>
<p><b><u>MISSISSIPPI</u></b>  Cathy Mallette  Clearinghouse Officer  Department of Finance and Administration  1301 Woolfolk Building, Suite E  501 North West Street  Jackson, Mississippi 39201  Telephone: (601) 359-6762  FAX: (601) 359-6758</p>	<p><b><u>MISSOURI</u></b>  Carol Meyer  Teresa Kirchhoff  Federal Assistance Clearinghouse  Office of Administration  P.O. Box 809  Truman Building, Room 840  Jefferson City, Missouri 65102  Telephone: (573) 751-4834  FAX: (573) 522-4395  <a href="mailto:meyerc@mail.oe.state.mo.us">meyerc@mail.oe.state.mo.us</a>  <a href="mailto:kirchhoff@mail.oe.state.mo.us">kirchhoff@mail.oe.state.mo.us</a></p>

<p><b><u>NEVADA</u></b>  Heather Elliott  Department of Administration  State Clearinghouse  209 E. Musser Street, Room 200  Carson City, Nevada 89701  Telephone: (775) 684-0209  FAX: (775) 684-0260  <a href="mailto:Helliott@govmail.state.nv.us">Helliott@govmail.state.nv.us</a></p>	<p><b><u>NEW HAMPSHIRE</u></b>  Jeffrey H. Taylor  Director  New Hampshire Office of State Planning  Attn: Intergovernmental Review Process  Mike Blake  2½ Beacon Street  Concord, New Hampshire 03301  Telephone: (603) 271-2155  FAX: (603) 271-1728  <a href="mailto:Jtaylor@osp.state.nh.us">Jtaylor@osp.state.nh.us</a></p>
<p><b><u>NEW MEXICO</u></b>  Ken Hughes  Local Government Division  Room 201, Bataan Memorial Building  Santa Fe, New Mexico 87503  Telephone: (505) 827-4370  FAX: (505) 827-4948  <a href="mailto:khughes@dfa.state.nm.us">khughes@dfa.state.nm.us</a></p>	<p><b><u>NORTH CAROLINA</u></b>  Jeanette Furney  Department of Administration  1302 Mail Service Center  Raleigh, North Carolina 27699-1302  Telephone: (919) 807-2323  FAX: (919) 733-9571  <a href="mailto:jeanette.furney@ncmail.net">jeanette.furney@ncmail.net</a></p>
<p><b><u>NORTH DAKOTA</u></b>  Jim Boyd  Division of Community Services  600 East Boulevard Ave, Dept 105  Bismarck, North Dakota 58505-0170  Telephone: (701) 328-2094  FAX: (701) 328-2308  <a href="mailto:jboyd@state.nd.us">jboyd@state.nd.us</a></p>	<p><b><u>RHODE ISLAND</u></b>  Kevin Nelson  Department of Administration  Statewide Planning Program  One Capitol Hill  Providence Rhode Island 02908-5870  Telephone: (401) 222-2093  FAX: (401) 222-2083  <a href="mailto:knelson@doa.state.ri.us">knelson@doa.state.ri.us</a></p>
<p><b><u>SOUTH CAROLINA</u></b>  Omeagia Burgess  Budget and Control Board  Office of State Budget  1122 Ladies Street – 12<sup>th</sup> Floor  Columbia, South Carolina 29201  Telephone: (803) 734-0494  FAX: (803) 734-0645  <a href="mailto:aburgess@budget.state.sc.us">aburgess@budget.state.sc.us</a></p>	<p><b><u>TEXAS</u></b>  Denise S. Francis  Director, State Grants Team  Governor's Office of Budget and Planning  P.O. Box 12428  Austin, Texas 78711  Telephone: (512) 305-9415  FAX: (512) 936-2681  <a href="mailto:dfrancis@governor.state.tx.us">dfrancis@governor.state.tx.us</a></p>
<p><b><u>UTAH</u></b>  Carolyn Wright  Utah State Clearinghouse  Governor's Office of Planning and Budget  State Capitol, Room 114  Salt Lake City, Utah 84114  Telephone: (801) 538-1535  FAX: (801) 538-1547  <a href="mailto:cwright@gov.state.ut.us">cwright@gov.state.ut.us</a></p>	<p><b><u>WEST VIRGINIA</u></b>  Fred Cutlip, Director  Community Development Division  West Virginia Development Office  Building #6, Room 553  Charleston, West Virginia 25305  Telephone: (304) 558-4010  FAX: (304) 558-3248  <a href="mailto:fcutlip@wvdo.org">fcutlip@wvdo.org</a></p>

<p><b><u>WISCONSIN</u></b>  Jeff Smith  Section Chief, Federal/State Relations  Wisconsin Department of Administration  101 East Wilson Street – 6<sup>th</sup> Floor  P.O. Box 7868  Madison, Wisconsin 53707  Telephone: (608) 266-0267  FAX: (608) 267-6931  <a href="mailto:jeffrey.smith@doa.state.wi.us">jeffrey.smith@doa.state.wi.us</a></p>	<p><b><u>AMERICAN SAMOA</u></b>  Pat M. Galea'i  Federal Grants/Programs Coordinator  Office of Federal Programs  Office of the Governor/Department  of Commerce  American Samoa Government  Pago Pago, American Samoa 96799  Telephone: (684) 633-5155  Fax: (684) 633-4195  <a href="mailto:pmgaleai@samoatelco.com">pmgaleai@samoatelco.com</a></p>
<p><b><u>GUAM</u></b>  Director  Bureau of Budget and Management Research  Office of the Governor  P.O. Box 2950  Agana, Guam 96910  Telephone: 011-671-472-2285  FAX: 011-671-472-2825  <a href="mailto:jer@ns.gov.gu">jer@ns.gov.gu</a></p>	<p><b><u>PUERTO RICO</u></b>  Jose Caballero / Mayra Silva  Puerto Rico Planning Board  Federal Proposals Review Office  Minillas Government Center  P.O. Box 41119  San Juan, Puerto Rico 00940-1119  Telephone: (787) 723-6190    Section F FAX: (787) 722-6783</p>
<p><b><u>NORTHERN MARIANA ISLANDS</u></b>  Ms. Jacoba T. Seman  Federal Programs Coordinator  Office of Management and Budget  Office of the Governor  Saipan, MP 96950  Telephone: (670) 664-2289  FAX: (670) 664-2272  <a href="mailto:omb.jseman@saipan.com">omb.jseman@saipan.com</a></p>	<p><b><u>VIRGIN ISLANDS</u></b>  Ira Mills  Director, Office of Management &amp; Budget  # 41 Norre Gade Emancipation Garden  Station, Second Floor  Saint Thomas, Virgin Islands 00802  Telephone: (340) 774-0750  FAX: (787) 776-0069  <a href="mailto:irmills@usvi.org">irmills@usvi.org</a></p>

Changes to this list can be made only after OMB is notified by a State's officially designated representative. E-mail messages can be sent to [grants@omb.eop.gov](mailto:grants@omb.eop.gov). If you prefer, you may send correspondence to the following postal address:

Attn: Grants Management  
Office of Management and Budget  
New Executive Office Building, Suite 6025  
725 17<sup>th</sup> Street, NW  
Washington, DC 20503

*Please note: Inquiries about obtaining a Federal grant should not be sent to the OMB e-mail or postal address shown above. The best source for this information is the Catalog of Federal Domestic Assistance (CFDA) [<http://www.cfda.gov/>].*

**IMPORTANT NOTICE TO PROSPECTIVE PARTICIPANTS  
IN U.S. DEPARTMENT OF EDUCATION  
GRANT AND CONTRACT PROGRAMS**

**GRANTS**

Applicants for grants from the U.S. Department of Education (ED) have to compete for limited funds. Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste. For these reasons, ED must set strict deadlines for grant applications. Prospective applicants can avoid disappointment if they understand that:

**Failure to meet a deadline will mean that an applicant will be rejected without any consideration.**

The rules, including the deadline, for applying for each grant are published, individually, in the Federal Register. A one-year subscription to the Register may be obtained by sending \$555.00 to: Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402-9371. (Send check or money order only, no cash or stamps.) In addition, the Federal Register is available on-line for free on Government Printing Office (GPO) Access: <http://www.access.gpo.gov/nara>. Depository Library location and Federal Register services: <http://www.nara.gov/fedreg>.

The instructions in the Federal Register must be followed exactly. Do not accept any other advice you may receive. No ED employee is authorized to extend any deadline published in the Register. No ED employees are authorized to extend any deadline published in the Federal Register. Questions regarding submission of applications may be addressed to:

U.S. Department of Education  
Application Control Center  
Washington, D.C. 20202-4725

**CONTRACTS**

***Competitive procurement actions undertaken by the ED are governed by the Federal Acquisition Regulations and implementing Department of Education Acquisition Regulations.***

Generally, prospective competitive procurement actions are synopsized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals (RFP). All of ED's RFP's are now available on-line for downloading at the following url:  
<http://www.ed.gov/offices/ocfo/contracts/currfrp.html>.

Offerors are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the RFP. Questions regarding the submission of offers should be addressed to the Contracts Specialist identified on the face page of the RFP. Offers are judged in competition with others, and failure to conform with any substantive requirements of the RFP will result in rejection of the offer without any consideration whatever.

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No ED employee is authorized to consider a proposal which is non-responsive to the RFP. A subscription to the CBD is available for \$208.00 per year via second class mailing or \$261.00 per year via first class mailing. Information included in the Federal Acquisition Regulation is contained in Title 48, Code of Federal Regulations, Chapter 1 (\$49.00). The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to:

Superintendent of Documents  
U.S. Government Printing Office  
Washington, D.C. 20402-9371

***In addition, the Commerce Business Daily is available on-line for free at the following url: <http://cbdnet.access.gpo.gov/>. The Federal Acquisition Regulations are available on-line at the following url: <http://www.arnet.gov/far/>. In an effort to be certain this important information is widely disseminated, this notice is being included in all ED mail to the public. You may therefore, receive more than one notice. If you do, we apologize for any annoyance it may cause you.***

***ED FORM 5348, 7/01***

